

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Toshiharu KUWAOKA

Serial No.

Art Unit:

Filed: concurrently herewith

Examiner:

For: METHOD AND APPARATUS  
FOR PROCESSING DIGITAL  
AUDIO SIGNAL

Atty Docket: 0102/0187



**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

For insuring compliance with the applicant's duty of disclosure under 37 CFR § 1.56, the undersigned hereby submits the documents listed on the attached Form PTO-1449 for consideration by the Examiner in charge of the above-identified patent application.

These documents are being submitted (check only one of the next four boxes):

- ☒ [XX] within three months of the filing of the above U.S. national application or of the date of entry of the U.S. national stage in an International Patent Application (no fee is due);
- ☐ before receiving a first Office Action on the merits of the above-identified patent application (no fee is due);
- ☐ following receipt of a first Office Action, but before issuance of a Final Office Action or a Notice of Allowance (if this box is checked, one of the last three boxes also must be checked);

OR

☐ following receipt of a Notice of Allowance or a Final Office Action (if this box is checked, the next box and one of the last three boxes also must be checked).

☐ PETITION - The undersigned hereby requests consideration of this information after mailing the Final Office Action or Notice of Allowance by filing this Petition under 37 CFR § 1.97(d)(2)(ii) and attaching Check No. in the amount of \$130.00 as the petition fee set forth in 37 CFR § 1.17(i)(1).


☐ Check No. in the amount of \$180.00 is attached in payment of the fee set forth in 37 CFR § 1.17(p).

☐ The undersigned certifies that each item of this information is being submitted within three months of the date it was cited by a foreign patent office in a counterpart application.

☐ The undersigned certifies that, after making reasonable inquiry, he/she has no knowledge that any item of this information was cited by a foreign patent office in a counterpart application or was known more than three months prior to this submission.

The Commissioner is hereby authorized to charge payment of any deficiency in the above fee(s) or to charge any additional fees required under 37 CFR § 1.16 or 1.17 or credit any overpayment to Deposit Account No. 50-0501. A duplicate copy of this authorization is attached for the Finance Branch.

Respectfully submitted,



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Date: Nov 8 2001

FORM HDP-1449 (Based on Form PTO-1449)  <b>PATENT AND TRADEMARK OFFICE</b> <b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)  Sheet 1 of <u>1</u>	ATTORNEY DOCKET NO.	SERIAL NO.
	0102/0187	
	APPLICANT Toshiharu KUWAOKA	
FILING DATE	GROUP	

1050 U.S. PTO  
**09/986369**  
 11/08/01

U.S. PATENT DOCUMENTS						
Ref. Desig.	Examiner's Initials	Document Number	Date	Name	Class/ Subclass	(If appropriate) Filing Date

FOREIGN PATENT DOCUMENTS							
Ref. Desig.	Examiner's Initials	Document Number	Date	Country	Class/ Subclass	Translation	
						Yes	No
		11-126097	5/11/99	Japan Kuwaoka		X	
		11-144382	5/28/99	Japan Kuwaoka		X	

OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)		
Ref. Desig.	Examiner's Initials	

Examiner: _____	Date Considered: _____
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EXAMINER: Please initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.